

ARIZONA STATEWIDE INFORMATION SECURITY	Statewide POLICY	 State of Arizona
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POLICY 1360: INFORMATION TECHNOLOGY PLANNING

DOCUMENT NUMBER:	P1360
EFFECTIVE DATE:	DRAFT
REVISION:	0.1

1. AUTHORITY

To effectuate the mission and purposes of the Arizona Department of Administration (ADOA), the Agency shall establish a coordinated plan and program for information technology (IT) implemented and maintained through policies, standards and procedures (PSPs) as authorized by Arizona Revised Statutes (A.R.S.)§ 41-3504 and § 41-3507.

2. PURPOSE

The purpose of this policy is to create an effective and efficient planning method for achieving and implementing IT business initiatives, goals, and objectives in addition to statewide strategies and initiatives. This planning method shall require all Budget Units (BUs) to develop strategic IT plans, including a comprehensive framework for the deployment of information technologies throughout state government.

3. SCOPE

This policy applies to all BUs as defined in A.R.S. § 41-3501(2).

4. EXCEPTIONS

- 4.1** PSPs may be expanded or exceptions may be taken by following the Statewide Exception Procedure.

4.1.1 Existing IT Products and Services

- a. BU subject matter experts (SMEs) should inquire with the vendor and the state or agency procurement office to ascertain if the contract provides for additional products or services to attain compliance with PSPs prior to submitting a request for an exception in accordance with the Statewide Policy Exception Procedure.

4.1.2 IT Products and Services Procurement

- a. Prior to selecting and procuring information technology products and services BU subject matter experts shall consider Statewide IT PSPs when specifying, scoping, and evaluating solutions to meet current and planned requirements.

5. ROLES AND RESPONSIBILITIES

5.1 ADOA-Arizona Strategic Enterprise Technology (ASET) shall (A.R.S. § 41-3504)(COBIT 5.0; EDM04, Resource Optimization; APO02 Manage Strategy):

- a. Create and publish a statewide, annually rolling, five-year IT plan in alignment with the Governor's initiatives no later than the 1st of April;
- b. Provide standard templates to state BUs for developing IT plans;
- c. Track IT plan submissions;
- d. Gather, review, recommend, and approve the BU IT Plans annually;
- e. Provide consultative assistance to state BUs to establish IT strategic plans, business cases;
- f. Conduct annual risk assessments with state BUs (COBIT 5.0 EDM03 Risk Optimization); and
- g. Provide a template for state BUs to document proposed projects.

5.2 BU Chief Information Officer (CIO) shall:

- a. Facilitate compliance with federal and state laws by establishing, implementing, and enforcing the federal and state laws, as well as all BU IT PSPs (COBIT 5.0; APO12 Manage Risk; MEA03 Compliance); and
- b. Provide direction and leadership to the BU through the recommendation of IT programs that will enable BU initiatives and operations.

5.3 BU Chief Executive Officer (CEO) shall:

- a. Work in conjunction with the BU CIO to ensure the effective implementation of Statewide IT PSPs within each BU (COBIT 5.0; EDM01.3 Monitor Governance).

5.4 BUs shall:

- a. Annually align IT services, including strategies, programs, goals, objectives, and performance measures, to the BU strategic plan (COBIT 5.0; EDM04 Resource Management);

- b. Update the IT plan to align with the ADOA-ASET statewide IT plan no later than Sept 1st (COBIT 5.0; APO02 Manage Strategy);
- c. Take into account the state-level vision documented in the current version of the Agency Strategic Five Year Plan;
- d. Establish and implement an IT plan, including IT planning PSPs, that is consistent with or exceeds the goals(COBIT 5.0; EDM04 Resource Management); and
- e. Provide a list of proposed projects for the fiscal year following the upcoming fiscal year in the IT Proposed Project Template standard template provided by ADOA-ASET annually no later than Sept 1st of the calendar year (COBIT 5.0; APO03 Manage Enterprise Architecture; APO05 Manage Portfolio).

6. STATEWIDE POLICY

In accordance with A.R.S. § 41-3504 (A (1(f))), ADOA-ASET evaluates and approves or disapproves BU IT Plans. The State CIO office shall create and publish a rolling statewide five-year IT plan no later than April 1st. All BUs shall develop an annual IT Plan and submit such plans to ADOA-ASET no later than Sept 1st of each calendar year with the following requirements (COBIT 5.0; EDM04 Resource Management): (Ref: *P1360 IT Planning Supplement 01 – Framework* for timelines)

- 6.1** BUs shall submit annual IT Plans for review to ADOA-ASET.
- 6.2** BU IT planning shall follow the ADOA-ASET template, which follows the Governor’s Office of Strategic Planning and Budgeting (OSPB) Managing for Results - Strategic Planning and Performance Measurement Handbook, with respect to goals, objectives, IT trends and issues, and performance measures.
- 6.3** BU IT plan shall reference and align with the BU’s five-year strategic plan and statewide five-year IT Plan (COBIT 5.0; APO02.01 Understand Enterprise Direction) .
- 6.4** BUs shall incorporate accomplishments and deferrals from the current fiscal year IT Plans into the following upcoming fiscal year IT Plan.
- 6.5** BUs shall include both new and revised goals, objectives, actual target measures, and updated performance measures in the upcoming fiscal year IT plan (COBIT 5.0; EDM04 Resource Management).
- 6.6** BUs requiring IT Plan updates, caused by extraordinary circumstances, shall submit a change request following the Change Request Procedure (refer – Change Request procedure).
- 6.7** Upon review of the change request by ADOA-ASET, BUs shall update the IT Plan and submit the Plan to ADOA-ASET for review.

- 6.7.1** All BUs shall complete the IT Assessment including the Technology Infrastructure and Security Assessment (TISA) questionnaire to finalize the annual planning process annually no later than Sept 1st of each year, as stated in the Statewide Standard P800-S805). IT Risk Management for the TISA requirements. Reference the statute- A.R.S. 41-3507, C-2 (COBIT 5.0; BAI10.02 Configuration Baseline).
- 6.7.2** All agencies, boards, and commissions are required to have IT inventory (ISIS) entered and accurate as possible annually no later than Sept 1st of each year in the prescribed format (COBIT 5.0; BAI09.01 Identify Assets).
- 6.7.3** All BUs shall create a list of proposed projects (refer – Proposed Projects Standard document) in parallel to the IT plan and submit the list to ADOA_ASET for review (COBIT 5.0; APO03 Manage Enterprise Architecture; APO05 Manage Portfolio).
- 6.7.4** Proposed projects shall be derived from the initiatives and risks documented in the IT Plan (COBIT 5.0; APO05.03 Evaluate and Select Programs to Fund);
- 6.7.5** All BUs shall create a pre-PIJ document for the proposed projects list. All pre-PIJ documents must be submitted to ADOA-ASET for review (COBIT 5.0; APO03 Manage Enterprise Architecture; APO05 Manage Portfolio);
- 6.7.6** BUs shall solicit consultation from ADOA-ASET Oversight to review the pre-PIJ documents.
- 6.7.7** Pre-PIJs documents must be completed in the prescribed form (refer - PIJ form) and must be submitted no later than Sept 1st to ADOA-ASET Oversight division.

7. DEFINITIONS AND ABBREVIATIONS

- 7.1** Refer to the PSP Glossary of Terms located on the ADOA-ASET website.
- 7.2** “Fiscal Year” means state government's year beginning on July 1 and ending on June 30. The fiscal year is denoted by the year in which it ends, so spending incurred on September 5, 2014, would belong to fiscal year 2015. Fiscal years are commonly referred to when discussing budgets.
- 7.3** “Upcoming Fiscal Year” means the fiscal year after the current fiscal year. So, spending for upcoming fiscal year 2015 denotes, July 1st 2014 to June 30th 2015. “Fiscal Year following the upcoming Fiscal Year” means fiscal year starting on July 1 in the next calendar year. Considering current calendar year to be 2014, the fiscal year following the upcoming fiscal year would be 2016 (calendar date July 1, 2015 – June 30th 2016).
- 7.4** “Chief Information Officer” is the executive responsible for development, implementation, and operation of information technology policies. Oversees all information systems infrastructure within the organization, and is responsible for

establishing information related standards to facilitate management control over all corporate resources.

- 7.5** “IT Director” analyzes the business requirements of different departments and conducts feasibility studies to determine the best use of technical resources. Technical investments may include a new information system or upgrades to hardware or software components. The IT director coordinates information systems managers and reports to the chief information officer.

8. REFERENCES

- 8.1** A.R.S. § 41-3504
- 8.2** Arizona Strategic Plan
- 8.3** List references related to the content of the document as well as ADOA’s authority to issue the document.
- 8.4** P1360 IT Planning Supplement 01 – Framework for timelines and checklist for deliverables.
- 8.4** CobiT 5.0, Information Systems Audit and Control Association (ISACA)

9. ATTACHMENTS

- 9.1** Attachment A: Exception Request Process
- 9.2** IT Strategic Plan Guidelines

10. REVISION HISTORY

Date	Change	Revision	Signature
DRAFT: DATE TBD	Initial Release	1.0	Aaron Sandeen, State CIO and Deputy Director

Attachment A: EXCEPTION REQUEST PROCESS

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1. PURPOSE

State information technology policies provide guidance for effective planning of information technology (IT) programs. In the diverse State IT infrastructure, there may be occasions when compliance with a policy or standard cannot be accomplished; justifications for the noncompliance must be documented. This policy establishes a mechanism to address requests for an exception to State Information Technology Planning policy. Exception can be submitted in case there are no active or proposed projects for the upcoming fiscal year.

1.1 REQUIREMENTS

- 1.1.1** BUs that are unable to comply with a State IT Planning Policy must formally request an exception when there is a legitimate reason and reasonable alternatives to meet the policy are not viable.
- 1.1.2** Exceptions will be evaluated and granted on a case by case basis, taking into consideration the nature of the request, areas impacted, risks, and mitigation alternatives.
- 1.1.3** Request for exception must be submitted by the appropriate BU manager, IT manager, Chief Information Officer (CIO) or their designee.
- 1.1.4** Requests must be submitted utilizing the exception request process defined in the Exception Request Procedure (refer to IT Plan Exception Request Procedure #).
- 1.1.5** Approved exception requests must be kept on file.
- 1.1.6** All exceptions requests are temporary and must be reviewed annually.

Attachment B: IT STRATEGIC PLAN GUIDELINES

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ADOA-ASET shall use the criteria below for evaluation and acceptance of the budget unit's IT Plan. If the plan is found not to fully articulate the five year Strategic IT Plan and the budget unit's IT direction, ADOA-ASET shall be in communication with the budget unit's contact to further clarify its IT direction.

Goals - Does the goal support at least one of the following?

- Does it support statewide five year IT strategic Plan.
- Does it support the budget unit IT vision and mission?
- Is it clear about what you want to accomplish?
- Is it stated in business terms? (i.e., talks about how it will help the budget unit business and not about IT implementation)
- A budget unit business goal?
- Sustainability of an essential business function that is identified in the State's Continuity of Operations Plan (COOP)?

Objectives

- Is there at least one objective for each IT goal?
- Does the objective support the IT goal?
- Does it represent an intermediate achievement?
- Does it specify a result rather than an activity?
- Is it quantifiable?
- Does it provide a specific time frame?

Performance Measures

- Does the performance measure relate to the objective it represents?
- Is the performance measure quantifiable?
- Is there a specific time frame, when applicable, for taking the measurement?
- Taken together will the performance measures accurately reflect key results?
- Were targets set for the budget unit's performance measures?
- Statewide Strategic IT Goals
- Are the statewide strategic IT goals addressed by the budget unit?

Additional Factors for Evaluation

- Does the IT plan reflect the depth and breadth of the budget unit (e.g., more than one goal, objective and performance measure is required for a budget unit with IT expenditure of over \$1 million)?
- Does the IT plan address the large IT initiatives in the budget unit?

- Does the IT plan address the large statewide IT initiatives in which the budget unit is participating?
- Does the IT plan address any security or other compliance gaps?
- Does the IT plan address those areas in which ADOA-ASET requested coverage?